



+Please type an "+" inside this box +

1 - 3 - 2000
PTO/SB/05 (12/97) Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 4034-46 Total Pages 43

First Named Inventor or Application Identified

Stuart Lee Breslow et al.

Express Mail Label No. EJ166451754US

U.S. PTO
476446

12/30/99

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)

2. Specification [Total Pages 36]
(preferred arrangement as set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure

3. Drawing(s) (35 USC 113) [Total Sheets 3]

4. Oath or Declarations [Total Pages 4]

a. Newly executed (original or copy)
 b. Copy from a prior application (37 CFR 1.63(d))
 (for continuation/divisional with Box 17 completed)
 [Note Box 5 below]
 i. DELETION OF INVENTOR(S)
 Signed statement attached deleting
 inventor(s) named in the prior application,
 see 37 CFR 1.63(d)(2) and 1.33(b).

5. Incorporation By Reference (useable if Box 4b is checked). The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. Microfiche Computer Program (Appendix)

7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 a. Computer Readable Copy
 b. Paper Copy (identical to computer copy)
 c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. Assignment Papers (cover sheet & documents(s))

9. 37 CFR 3.73(b) Statement Power of Attorney
(when there is an assignee)

10. English Translation Document (if applicable)

11. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations

12. Preliminary Amendment

13. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

14. Small Entity Statement filed in prior application, Statements(s) Status still proper and desired

15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)

16. Other: _____

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation Divisional Continuation-in-part (CIP) of prior application No: /

18. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or Correspondence address below

NAME	Ernest D. Buff Riker, Danzig, Scherer, Hyland & Perretti LLP				
ADDRESS	Headquarters Plaza One Speedwell Avenue				
CITY	Morristown	STATE	New Jersey	ZIP CODE	07962
COUNTRY	USA	TELEPHONE	973-538-0800	FAX	973-359-0984

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to The Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL				Application Number																																																																																																																																																																																																																					
<i>Note: Effective October 1, 1997</i> <i>Patent Fees are subject to annual revision.</i>																																																																																																																																																																																																																									
TOTAL AMOUNT OF PAYMENT		(\$)		1394.00		Attorney Docket Number																																																																																																																																																																																																																			
METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																																																																																																																																																																																																					
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number → 50-0444 Deposit Account Name → Riker, Danzig, Scherer, Hyland & Perretti LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee Set In 37 CFR 1.18 at the Mailing of the Notice of Allowance				3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Small Entity Fee Code</th> <th>Fee (\$)</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provision filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>950</td><td>217</td><td>475</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,510</td><td>218</td><td>755</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>2,060</td><td>228</td><td>1,030</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,320</td><td>241</td><td>660</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,320</td><td>242</td><td>660</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>450</td><td>243</td><td>225</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>670</td><td>244</td><td>335</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>40.00</td></tr> <tr><td>146</td><td>790</td><td>246</td><td>395</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>790</td><td>249</td><td>395</td><td>For each additional invention to be examined (37 CFR 1.29(b))</td><td></td></tr> <tr><td colspan="4">Other fee (specify) _____</td><td colspan="2">SUBTOTAL (3) (\$)</td><td colspan="2">40.00</td></tr> <tr><td colspan="4">Other fee (specify) _____</td><td colspan="2">SUBTOTAL (3) (\$)</td><td colspan="2">40.00</td></tr> <tr> <td colspan="4">*Reduced by Basic Filing Fee Paid</td> <td colspan="4">SUBTOTAL (3) (\$)</td> </tr> <tr> <td colspan="4">SUBMITTED BY:</td> <td colspan="4">Complete (if applicable)</td> </tr> <tr> <td colspan="2">Typed or Printed Name</td> <td colspan="2">Ernest D. Butz</td> <td colspan="2">Reg. Number</td> <td colspan="2">25,833</td> </tr> <tr> <td colspan="2">Signature</td> <td colspan="2"></td> <td>Date</td> <td>12/30/99</td> <td>Deposit Account User ID</td> <td></td> </tr> </tbody> </table>				Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provision filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	400	216	200	Extension for reply within second month		117	950	217	475	Extension for reply within third month		118	1,510	218	755	Extension for reply within fourth month		128	2,060	228	1,030	Extension for reply within fifth month		119	310	219	155	Notice of Appeal		120	310	220	155	Filing a brief in support of an appeal		121	270	221	135	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,320	241	660	Petition to revive - unintentional		142	1,320	242	660	Utility issue fee (or reissue)		143	450	243	225	Design issue fee		144	670	244	335	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00	146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))		149	790	249	395	For each additional invention to be examined (37 CFR 1.29(b))		Other fee (specify) _____				SUBTOTAL (3) (\$)		40.00		Other fee (specify) _____				SUBTOTAL (3) (\$)		40.00		*Reduced by Basic Filing Fee Paid				SUBTOTAL (3) (\$)				SUBMITTED BY:				Complete (if applicable)				Typed or Printed Name		Ernest D. Butz		Reg. Number		25,833		Signature				Date	12/30/99	Deposit Account User ID	
Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																				
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																																																																																					
127	50	227	25	Surcharge - late provision filing fee or cover sheet																																																																																																																																																																																																																					
139	130	139	130	Non-English specification																																																																																																																																																																																																																					
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																																																																																					
112	920*	112	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																																																					
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																																																					
115	110	215	55	Extension for reply within first month																																																																																																																																																																																																																					
116	400	216	200	Extension for reply within second month																																																																																																																																																																																																																					
117	950	217	475	Extension for reply within third month																																																																																																																																																																																																																					
118	1,510	218	755	Extension for reply within fourth month																																																																																																																																																																																																																					
128	2,060	228	1,030	Extension for reply within fifth month																																																																																																																																																																																																																					
119	310	219	155	Notice of Appeal																																																																																																																																																																																																																					
120	310	220	155	Filing a brief in support of an appeal																																																																																																																																																																																																																					
121	270	221	135	Request for oral hearing																																																																																																																																																																																																																					
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																																																					
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																																																																					
141	1,320	241	660	Petition to revive - unintentional																																																																																																																																																																																																																					
142	1,320	242	660	Utility issue fee (or reissue)																																																																																																																																																																																																																					
143	450	243	225	Design issue fee																																																																																																																																																																																																																					
144	670	244	335	Plant issue fee																																																																																																																																																																																																																					
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																																																					
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																																																																					
126	240	126	240	Submission of Information Disclosure Stmt																																																																																																																																																																																																																					
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00																																																																																																																																																																																																																				
146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																																																					
149	790	249	395	For each additional invention to be examined (37 CFR 1.29(b))																																																																																																																																																																																																																					
Other fee (specify) _____				SUBTOTAL (3) (\$)		40.00																																																																																																																																																																																																																			
Other fee (specify) _____				SUBTOTAL (3) (\$)		40.00																																																																																																																																																																																																																			
*Reduced by Basic Filing Fee Paid				SUBTOTAL (3) (\$)																																																																																																																																																																																																																					
SUBMITTED BY:				Complete (if applicable)																																																																																																																																																																																																																					
Typed or Printed Name		Ernest D. Butz		Reg. Number		25,833																																																																																																																																																																																																																			
Signature				Date	12/30/99	Deposit Account User ID																																																																																																																																																																																																																			

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: **Stuart Lee Breslow et al.**
Attorney Docket No.: **4034-46**
For: **ON-LINE TRADING SYSTEM**

JC575 U.S. PTO
09/476448 12/30/99

Morristown, N.J. 07962
December 30, 1999

Box Patent Application
Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

CERTIFICATION

I hereby certify that this paper, bearing Express Mailing Label No. EJ166451754US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

Angela Gehring
Angela Gehring
(Mailer)